

Archived Information

U. S. Department of Education

Office of Postsecondary Education
Washington, D.C. 20006-8524



Fiscal Year 2006 Application for **Partnership Grants** Under the

GAINING EARLY AWARENESS & READINESS FOR UNDERGRADUATE PROGRAMS (GEAR UP)

(CFDA NUMBER 84.334A)

CLOSING DATE: March 9, 2006

OMB No. 1840-0740

Expiration Date 2/29/2008

Paperwork Burden Statement

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Gaining Early Awareness & Readiness for Undergraduate Programs (GEAR UP)

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UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF POSTSECONDARY EDUCATION

Dear Applicant:

Thank you for your interest in the Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) program. We are pleased to provide the application booklet for the fiscal year 2006 GEAR UP Partnership grant competition. Included in this application booklet are the program statute and regulations, and the instructions and forms needed to submit a complete partnership application package to the U.S. Department of Education.

The GEAR UP program is designed to significantly increase the number of low-income students who are prepared to enter and succeed in postsecondary education. GEAR UP provides six-year grants to states and partnerships to provide services at high-poverty middle and high schools such as tutoring, mentoring, teacher training, curriculum enhancement, summer programs, college visits, counseling, and parental involvement activities. GEAR UP funding can also be used to provide college scholarships to low-income students. For more information about the GEAR UP program, please visit our website at: <http://www.ed.gov/programs/gearup/index.html>.

Please review carefully the enclosed materials regarding eligibility and program requirements. In particular, please note that all partnerships must include at least one institution of higher education (IHE), at least one local education agency (LEA) or school district, and two other partners. The fiscal agent for the partnership must be either an IHE or a LEA. Also, please note GEAR UP grantees are obligated to provide at least 50 percent of the total cost of a GEAR UP project (a dollar-for-dollar match) from state, local, institutional, or private funds in the form of cash or documented in-kind contributions.

The Closing Date Notice, contained in this booklet, includes instructions concerning the submission of applications and our e-Application system. All applications must be submitted on or before March 9, 2006. Late applications and applications exceeding the page limits will not be considered for funding.

For further information regarding the program, please contact Mr. James Davis in the Office of Postsecondary Education. Mr. Davis can be reached at (202) 502-7676 or at James.Davis@ed.gov.

Sincerely,

Linda L. Emery
Acting Deputy Assistant Secretary
for Higher Education Programs

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Gaining Early Awareness and Readiness for Undergraduate Programs

Notice inviting applications for new awards for fiscal year (FY) 2006.

Catalog of Federal Domestic Assistance (CFDA) Numbers:

84.334S (State grants) and 84.334A (Partnership grants)

Dates:

Applications Available: January 23, 2006.

Deadline for Transmittal of Applications: March 9, 2006.

Deadline for Intergovernmental Review: May 9, 2006.

Eligible Applicants: (1) A State; or (2) a partnership consisting of (A) one or more local educational agencies acting on behalf of (i) one or more elementary schools or secondary schools, and (ii) the secondary schools that students from the schools described in (i) would normally attend; (B) one or more degree granting institutions of higher education; and (C) at least two community organizations or entities, such as businesses, professional associations, community-based organizations, philanthropic organizations, State agencies, institutions or agencies sponsoring programs authorized under subpart 4 of Part A of Title IV of the Higher Education Act of 1965, or other public or private agencies or organizations.

Note: For State grants, the fiscal agent/applicant must be a single State agency as designated by the State's governor. For partnership grants, the fiscal agent/applicant must be either an institution of higher education that is not pervasively sectarian or a local educational agency.

Estimated Available Funds: \$24,500,000 for partnership grants and \$12,000,000 for State grants.

Estimated Range of Awards: \$100,000 - \$7,000,000 for partnership grants and \$500,000 - \$3,000,000 for State grants.

Estimated Average Size of Awards: \$1,200,000 for partnership grants and \$3,000,000 for State grants.

Maximum Award: We will reject any application for a State grant that proposes a budget exceeding \$3,000,000 for a single budget period of 12 months. We will reject any application for a partnership grant that proposes a budget exceeding \$800 per student for a single budget period of 12 months. We also will reject any State or partnership grant application that proposes an increase in its budget after the first 12-month budget period. The Assistant Secretary for Postsecondary Education may change any of these maximum amounts through a notice published in the Federal Register.

Estimated Number of Awards: 4 State grants and 20 partnership grants.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 72 months.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR UP) is to support early college preparation and awareness activities for low-income students.

Priority: Under this competition we are particularly interested in applications that address one or both of the following priorities.

Invitational Priority: For FY 2006 these priorities are invitational priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets these invitational priorities a competitive or absolute preference over other applications.

These priorities are:

Invitational Priority 1

Applicants are encouraged to include plans to develop and administer an assessment in the tenth and/or eleventh grade to determine whether GEAR UP students are adequately prepared for postsecondary education. Assessments would include math and language skills, and other content areas or skills the applicant believes are sound indicators of preparedness for college-level work. The results of such an assessment would then be used as a substitute for placement tests that members of the cohort who are admitted to a partner institution of higher education would otherwise be required to take, and to guide intervention

strategies that focus on the needs of individual GEAR UP students to help ensure that, by the time they graduate from high school, they are prepared for college.

The Secretary will review the results of this invitational priority (including the number of applicants who include information responsive to this priority and whether any grantees develop and administer an assessment), and may propose to modify the regulations for the GEAR UP program (34 CFR 694) to require that grantees conduct an assessment of this kind of the students receiving services through GEAR UP partnership or State grants.

Invitational Priority 2

Partnership applicants are encouraged to include plans to establish and maintain a financial assistance program that awards college scholarships to GEAR UP students consistent with the requirements governing GEAR UP scholarships that State grantees must meet in section 404E of the Higher Education Act, as amended. That provision includes requirements regarding the amounts of the scholarships and student eligibility. Applicants proposing plans that include this priority should be sure to consider how the financial assistance program will be administered after Federal funding for the grant has ended. Since any Federal funds or non-federal matching contributions to be used for scholarships in future years must be obligated during the appropriate budget period, the requirement of an obligation requires that these funds be placed in a trust or other irrevocable instrument for the benefit of the GEAR UP students until such time as the funds are awarded to individual students.

Program Authority: 20 U.S.C. 1070a-21.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99. (b) The regulations for this program in 34 CFR part 694.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$24,500,000 for partnership grants and \$12,000,000 for State grants.

Estimated Range of Awards: \$100,000 - \$7,000,000 for partnership grants and \$500,000 - \$3,000,000 for State grants.

Estimated Average Size of Awards: \$1,200,000 for partnership grants and \$3,000,000 for State grants.

Maximum Award: We will reject any application for a State grant that proposes a budget exceeding \$3,000,000 for a single budget period of 12 months. We will reject any application for a partnership grant that proposes a budget exceeding \$800 per student for a single budget period of 12 months. We also will reject any State or partnership grant application that proposes an increase in its budget after the first 12-month budget period. The Assistant Secretary for Postsecondary Education may change any of these maximum amounts through a notice published in the Federal Register.

Estimated Number of Awards: 4 State grants and 20 partnership grants.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 72 months.

III. Eligibility Information

1. Eligible Applicants: (1) A State; or (2) a partnership consisting of (A) one or more local educational agencies acting on behalf of (i) one or more elementary schools or secondary schools, and (ii) the secondary schools that students from the schools described in (i) would normally attend; (B) one or more degree granting institutions of higher education; and (C) at least two community organizations or entities, such as businesses, professional associations, community-based organizations, philanthropic organizations, State agencies, institutions or agencies sponsoring programs authorized under subpart 4 of Part A of Title IV of the Higher Education Act of 1965, or other public or private agencies or organizations.

Note: For State grants, the fiscal agent/applicant must be a single State agency as designated by the State's Governor. For partnership grants, the fiscal agent/applicant must be either an institution of higher education or a local education agency.

2. Cost Sharing or Matching: Section 404C of the Higher Education Act of 1965, as amended, requires grantees under this program to provide not less than 50 percent of the total cost of

the project over 6 years. By regulation, a partnership may propose a non-Federal contribution of less than 50 percent, but not less than 30 percent of the total cost of the project, if the partnership includes three or fewer institutions of higher education as members and meets the high-need criteria in 34 CFR 694.7(b)(2). The non-Federal share of project costs may be in cash or in-kind. Applicants will be held to the matching commitment proposed in the application for funding, even if the proposed match is higher than the percent required by statute.

3. Other: For State grants, at least 25 percent, and not more than 50 percent of grant funds must be spent on early college preparation and awareness, and at least 50 percent of grant funds must be spent on postsecondary scholarships to eligible GEAR UP students. The Secretary may waive the scholarship percentage requirement if the applicant demonstrates that it has another means of providing the students with financial assistance.

IV. Application and Submission Information

1. Address to Request Application Package: You may obtain an application package via the Internet by downloading the package from the program Web site at:

<http://www.ed.gov/programs/gearup/index.html>

You also may obtain a copy of the application package at the following address: Angela Oliphant, Gaining Early Awareness and Readiness for Undergraduate Programs, U.S. Department of

Education, 1990 K Street, NW., suite 6101, Washington, DC 20006-8524. Telephone: (202) 502-7676.

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in this section.

2. Content and Form of Application Submission:

Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

Page Limit: The application narrative addresses the selection criteria that reviewers use to evaluate your application. You must limit the application narrative found in Part 4 of the application to the equivalent of no more than 40 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use one of the following fonts: Times New Roman,

Courier, Courier New, or Arial. Applications submitted in any other font (including Times Roman and Arial Narrow) will not be accepted.

- Use a font that is either 12-point or larger.

The page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract.

We will reject your application if--

- You apply these standards and exceed the page limit;
- or

- You apply other standards and exceed the equivalent of the page limit.

3. Submission Dates and Times:

Applications Available: January 23, 2006.

Deadline for Transmittal of Applications: March 9, 2006.

Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) available through the Department's e-Grants system. For information (including dates and times) about how to submit your application electronically or by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to Section IV.

6. Other Submission Requirements in this notice.

Deadline for Intergovernmental Review: May 9, 2006.

4. Intergovernmental Review: These programs are subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application packages for these programs.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Applications for grants under these programs must be submitted electronically, unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the GEAR UP State and Partnership Competitions - CFDA Numbers 84.334S and CFDA 84.334A must be submitted electronically using e-Application available through the Department's e-Grants system, accessible through the e-Grants portal page at: <http://e-grants.ed.gov>

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written Statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks

before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- You must complete the electronic submission of your grant application by 4:30 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this program after 4:30 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

- The regular hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday, Washington, DC time. Please note that the system is unavailable on Sundays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time, for maintenance. Any modifications to these hours are posted on the e-Grants Web site.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including the GEAR UP Title Page Form, Project Budget Summary Forms and all necessary assurances and certifications.

- You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified above or submit a password protected file, we will not review that material.

- Your electronic application must comply with any page limit requirements described in this notice.

- Prior to submitting your electronic application, you may wish to print a copy of it for your records.

- After you electronically submit your application, you will receive an automatic acknowledgment, that will include a PR/Award number (an identifying number unique to your application).

- Within three working days after submitting your electronic application, fax a signed copy of the GEAR UP Title Page Form to the Application Control Center after following these steps:

- (1) Print the GEAR UP Title Page Form from e-Application.

- (2) The applicant's Authorizing Representative must sign the GEAR UP Title Page Form.

(3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the GEAR UP Title Page Form.

(4) Fax the signed GEAR UP Title Page Form to the Application Control Center at (202) 245-6272.

- We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of e-Application

System Unavailability: If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

(1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

(2)(a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

(b) The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgment of any system

unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If the system is down and therefore the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application.

Extensions referred to in this section apply only to the unavailability of the Department's e-Application system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the e-Application system because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Department's e-application system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written Statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application. If you mail your written Statement to the Department, it must be postmarked no later than two weeks before the application deadline date.

If you fax your written Statement to the Department, we must receive the faxed Statement no later than two weeks before the application deadline date.

Address and mail or fax your Statement to: Angela Oliphant, U.S. Department of Education, 1990 K Street, NW., suite 6101, Washington, DC 20006-8524. Fax: (202) 502-7675.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education
Application Control Center
Attention: 84.334S or 84.334A (as appropriate)
400 Maryland Avenue, SW. ,
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education
Application Control Center
Attention: 84.334S or 84.334A (as appropriate)
7100 Old Landover Road
Landover, MD 20785-1506

Regardless of which address you use, you must show

proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

a. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by

hand, on or before the application deadline date, to the

Department at the following address:

U.S. Department of Education
Application Control Center
Attention: 84.334A or 84.334S (as appropriate)
550 12th Street, SW.,
Room 7041, Potomac Center Plaza,
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department:

(1) You must indicate on the envelope and--if not provided by the Department--on the GEAR UP Title Page Form the CFDA number--and suffix letter, if any--of the competition under which you are submitting your application.

(2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

Selection Criteria: The selection criteria for this program are from the Education Department General Administrative Regulations (EDGAR) and are listed in the application package.

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may also notify you informally.

If your application is not evaluated or not selected for funding, we will notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118.

4. Performance Measures: The objectives of the GEAR UP program are: (1) to increase the academic performance and preparation for postsecondary education of participating

students; (2) to increase the rate of high school graduation and participation in postsecondary education of participating students; and (3) to increase educational expectations for participating students and student and family knowledge of postsecondary education options, preparation, and financing.

To assess the performance of the program in achieving these objectives, the Department has developed a number of performance measures that are included in the application package. All grantees will be expected to submit an annual performance report documenting their success in addressing these performance measures.

VII. Agency Contact

For Further Information Contact: Angela Oliphant, Gaining Early Awareness and Readiness for Undergraduate Programs, U.S. Department of Education, 1990 K Street, NW., suite 6101, Washington, DC 20006-8524. Telephone: (202) 502-7676.

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-3339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed in this section.

VIII. Other Information

Electronic Access to This Document: You may view this document, as well as all other documents of this Department

published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:
www.ed.gov/news/fedregister

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:
www.gpoaccess.gov/nara/index.html

Dated:

Sally L. Stroup,
Assistant Secretary for
Postsecondary Education.

The Higher Education Act of 1965, as amended

Title IV, Part A, Subpart 2 Chapter 2--GAINING EARLY AWARENESS AND READINESS FOR UNDERGRADUATE PROGRAMS

Title IV--STUDENT ASSISTANCE

PART A--GRANTS TO STUDENTS IN ATTENDANCE AT INSTITUTIONS OF HIGHER EDUCATION

CHAPTER 2—GAINING EARLY AWARENESS AND READINESS FOR UNDERGRADUATE PROGRAMS

SEC. 404A. EARLY INTERVENTION AND COLLEGE AWARENESS PROGRAM AUTHORIZED.

- (a) **PROGRAM AUTHORIZED** – The Secretary is authorized, in accordance with the requirements of this chapter, to establish a program that—
 - (1) encourages eligible entities to provide or maintain a guarantee to eligible low-income students who obtain a secondary school diploma (or its recognized equivalent), of the financial assistance necessary to permit the students to attend an institution of higher education; and
 - (2) supports eligible entities in providing—
 - (A) additional counseling, mentoring, academic support, outreach, and supportive services to elementary school, middle school, and secondary school students who are at risk of dropping out of school; and
 - (B) information to students and their parents about the advantages of obtaining a postsecondary education and the college financing options for the students and their parents.
- (b) **AWARDS**—
 - (1) **IN GENERAL** – From funds appropriated under section 404H for each fiscal year, the Secretary shall make awards to eligible entities described in paragraphs (1) and (2) of subsection (c) to enable the entities to carry out the program authorized under subsection (a).
 - (2) **PRIORITY** – In making awards to eligible entities described in paragraph (c)(1), the Secretary shall—
 - (A) give priority to eligible entities that—
 - (i) on the day before the date of enactment of the Higher Education Amendments of 1998, carried out successful educational opportunity programs under this chapter (as this chapter was in effect on such day); and
 - (ii) have a prior, demonstrated commitment to early intervention leading to college access through collaboration and replication of successful strategies;
 - (B) ensure that students served under this chapter on the day before the date of enactment of the Higher Education Amendment of 1998 continue to receive assistance through the completion of secondary school.
- (c) **DEFINITION OF ELIGIBLE ENTITY**— For the purposes of this chapter, the term eligible entity means—
 - (1) a State; or
 - (2) a partnership consisting of—
 - (A) one or more local educational agencies acting on behalf of –
 - (i) one or more elementary schools or secondary schools; and
 - (ii) the secondary schools that students from the school described in clause (i) would normally attend;
 - (B) one or more degree granting institutions of higher education; and

- (C) at least two community organizations or entities, such as businesses, professional associations, community-based organizations, philanthropic organizations, State agencies, institutions or agencies sponsoring programs authorized under subpart 4, or other public or private agencies or organizations.

SEC. 404B. REQUIREMENTS.

(a) FUNDING RULES-

(1) **CONTINUATION AWARDS-**From the amount appropriated under section 404H for fiscal year, the Secretary shall continue to award grants to States under this chapter (as this chapter was in effect on the day before the date of enactment of the Higher Education Amendments of 1998) in accordance with the terms and conditions of such grants.

(2) **DISTRIBUTION-**From the amount appropriated under section 404H that remains after making continuation awards under paragraph (1) for a fiscal year, the Secretary shall—

(A) make available--

(i) not less than 33 percent of the amount to eligible entities described in section 404A(c)(1); and

(ii) not less than 33 percent of the amount to eligible entities described in section 404A(c) (2); and

(B) award the remainder of the amount to eligible entities described in paragraph (1) or (2) of section 404A(c).

(3) **SPECIAL RULE-** The Secretary shall annually reevaluate the distributions of funds described in paragraph (2)(B) based on number, quality, and promise of the applications and adjust the distribution accordingly.

(b) **LIMITATION-** Each eligible entity described in section 404A(c)(1), and each eligible entity described in section 404A(c)(2) that conducts a scholarship component under section 404E, shall use not less than 25 percent and not more than 50 percent of grant funds received under this chapter for the early intervention component of an eligible entity's program under this chapter, except that the Secretary may waive the 50 percent limitation if the eligible entity demonstrates that the eligible entity has another means of providing the students with financial assistance that is described in the plan submitted under section 404C.

(c) **COORDINATION-** Each eligible entity shall ensure that the activities assisted under this chapter are, to the extent practicable, coordinated with, and complement and enhance—

(1) services under this chapter provided by other eligible entities serving the same school district or State; and

(2) related services under other Federal or non-Federal programs.

(d) **DESIGNATION OF FISCAL AGENT** – An eligible entity described in section 404A(c)(2) shall designate an institution of higher education or a local educational agency as the fiscal agent for the eligible entity.

- (e) **COORDINATORS** – An eligible entity described in section 404A(c)(2) shall have a full-time program coordinator or a part-time program coordinator, whose primary responsibility is a project under section 404C.
- (f) **DISPLACEMENT** – An eligible entity described in 404A(c)(2) shall ensure that the activities assisted under this chapter will not displace an employee or eliminate a position at a school assisted under this chapter, including a partial displacement such as a reduction in hours, wages, or employment benefits.
- (g) **COHORT APPROACH** –
 - (1) **IN GENERAL**—The Secretary shall require that eligible entities described in section 404A(c)(2)—
 - (A) provide services under this chapter to at least one grade level of students, beginning not later than 7th grade, in a participating school that has a 7th grade and in which at least 50 percent of the students enrolled are eligible for free or reduced-price lunch under the National School Lunch Act (or, if an eligible entity determines that it would promote, the effectiveness of s program, an entire grade level of students, beginning not later than the 7th grade, who reside in public housing as defined in section 3(b)(1) of the United States Housing Act of 1937); and
 - (B) ensure that the services are provided through the 12th grade to students in the participating grade level.
 - (2) **COORDINATION REQUIREMENT** – In order for the Secretary to require the cohort approach described in paragraph (1), the Secretary shall, where applicable, ensure that the cohort approach is done in coordination and collaboration with existing early intervention programs and does not duplicate the services already provided to a school or community.

SEC.404C. ELIGIBLE ENTITY PLANS.

- (a) **PLAN REQUIRED FOR ELIGIBILITY** –
 - (1) **IN GENERAL** – In order for an eligible entity to qualify for a grant under this chapter, the eligible entity shall submit to the Secretary a plan for carrying out the program under this chapter. Such plan shall provide for the conduct of a scholarship component if required or undertaken pursuant to section 404E and an early intervention component required pursuant to section 404D.
 - (2) **CONTENTS** – Each plan submitted pursuant to paragraph (1) shall be in such form, contain or be accompanied by such information or assurances, and be submitted at such time as the Secretary may require by regulation. Each such plan shall—
 - (A) describe the activities for which assistance under this chapter is sought; and
 - (B) provide such additional assurances as the Secretary determines necessary to ensure compliance with the requirements of this chapter.
- (b) **MATCHING REQUIREMENT** –

(1) IN GENERAL – The Secretary shall not approve a plan submitted under subsection (a) unless such plan—

- (A) provides that the eligible entity will provide, from State, local, institutional, or private funds, not less than 50 percent of the cost of the program, which matching funds may be provided in cash or in kind;
- (B) specifies the methods by which matching funds will be paid; and
- (C) includes provisions designed to ensure that funds provided under this chapter shall supplement and not supplant funds expended for existing programs.

(2) SPECIAL RULE – Notwithstanding the matching requirement described in paragraph (1)(A), the Secretary may by regulation modify the percentage requirement described in paragraph (1)(A) for eligible entities described in section 404A(c)(2).

(c) METHODS FOR COMPLYING WITH MATCHING REQUIREMENT – An eligible entity may count toward the matching requirement described in subsection (b)(1)(A)—

- (1) the amount of the financial assistance paid to students from State, local, institutional, or private funds under this chapter;
- (2) the amount of tuition, fees, room or board waived or reduced for recipients of financial assistance under this chapter; and
- (3) the amount expended on documented, targeted, long-term mentoring and counseling provided by volunteers or paid staff of nonschool organizations, including businesses, religious organizations, community groups, postsecondary educational institutions, nonprofit and philanthropic organizations, and other organizations.

(d) PEER REVIEW PANELS – The Secretary shall convene peer review panels to assist in making determinations regarding the awarding of grants under this chapter.

SEC.404D.EARLY INTERVENTION.

(a) SERVICES –

(1) IN GENERAL – In order to receive a grant under this chapter, an eligible entity shall demonstrate to the satisfaction of the Secretary, in the plan submitted under section 404C, that the eligible entity will provide comprehensive mentoring, counseling, outreach, and supportive services to students participating in programs under this chapter. Such counseling shall include—

- (A) financial aid counseling and information regarding the opportunities for financial assistance under this title; and
- (B) activities or information regarding—

(i) fostering and improving parent involvement in promoting the advantages of a college education, academic admission requirements, and the need to take college preparation courses;

(ii) college admissions and achievement tests; and

(iii) college application procedures.

- (2) **METHODS** – The eligible entity shall demonstrate in such plan, pursuant to regulations of the Secretary, the methods by which the eligible entity will target services on priority students described in subsection (c), if applicable.

(b) **USES OF FUNDS** –

- (1) **IN GENERAL** – The Secretary shall, by regulation, establish criteria for determining whether comprehensive mentoring, counseling, outreach, and supportive services programs may be used to meet the requirements of subsection (a).

- (2) **PERMISSIBLE ACTIVITIES** – Examples of activities that meet the requirements of subsection (a) include the following:

- (A) Providing eligible students in preschool through grade 12 with a continuing system of mentoring and advising that—

(i) is coordinated with the Federal and State community service initiatives; and

(ii) may include such support services as after school and summer tutoring, assistance in obtaining summer jobs, career mentoring, and academic counseling.

- (B) Requiring each student to enter into an agreement under which the student agrees to achieve certain academic milestones, such as completing a prescribed set of courses and maintaining satisfactory progress described in section 484(c), in exchange for receiving tuition assistance for a period of time to be established by each eligible entity.

- (C) Activities designed to ensure secondary school completion and college enrollment of at-risk children, such as identification of at-risk children, after school and summer jobs, academic counseling, volunteer and parent involvement, providing former or current scholarship recipients as mentor or peer counselors, skills assessment, providing access to rigorous core counselors that reflect challenging academic standards, personal counseling, family counseling and home visits, staff development, and programs and activities described in the subparagraph that are specially designed for students of limited English proficiency.

- (D) Summer programs for individuals who are in their sophomore or junior years of secondary school or are planning to attend an institution of higher education in the succeeding academic year that—

(i) are carried out at an institution of higher education that has programs of academic year supportive services for disadvantaged students through projects authorized under section 402D or through comparable projects funded by the State or other sources;

(ii) provide for the participation of the individuals who are eligible for assistance under section 402D or

who are eligible for comparable programs funded by the State;

(iii) (I) provide summer instruction in remedial, developmental or supportive courses,

(II) provide such summer services as counseling, tutoring, or orientation; and

(III) provide financial assistance to the individuals' summer costs for books, supplies, living costs, and personal expenses; and

(iv) provide the individuals with financial assistance during each academic year the individuals are enrolled at the participating institution after the summer program.

(E) Requiring eligible students to meet other standards or requirements as the State determines necessary to meet the purposes of this section.

(c) **PRIORITY STUDENTS** – For eligible entities not using a cohort approach, the eligible entity shall treat as priority students any student in preschool through grade 12 who is eligible—

(1) to be counted under section 1124(c) of the Elementary and Secondary Education Act of 1965;

(2) for free or reduced price meals under the National School Lunch Act; or

(3) for assistance pursuant to part A of title IV of the Social Security Act.

(d) **ALLOWABLE PROVIDERS** – In the case of eligible entities described in section 404A(c)(1), the activities required by this section may be provided by service providers such as community-based organizations, schools, institutions of higher education, public and private agencies, nonprofit and philanthropic organizations, businesses, institutions and agencies sponsoring programs authorized under subpart 4, and other organizations the State deems appropriate.

SEC.404E.SCHOLARSHIP COMPONENT.

(A) **IN GENERAL** -

(1) **STATES** – In order to receive a grant under this chapter, an eligible entity described in section 404A(c)(1) shall establish or maintain a financial assistance program that awards scholarships to students in accordance with the requirements of this section. The Secretary shall encourage the eligible entity to ensure that a scholarship provided pursuant to this section is available to an eligible student for use at any institution of higher education.

(2) **PARTNERSHIPS** – An eligible entity described in section 404A(c)(2) may award scholarships to eligible students in accordance with the requirements of this section.

(b) **GRANT AMOUNTS** – The maximum amount of a scholarship that an eligible student shall be eligible to receive under this section shall be established by the eligible entity. The minimum amount of the scholarship for each fiscal year shall not be less than the lesser of—

(1) 75 percent of the average cost of attendance for an in-State student, in a 4-year program of instruction, at public institutions of higher education in

such State, as determined in accordance with regulations prescribed by the Secretary; or

- (2) the maximum Federal Pell grant funded under section 401 for such fiscal year.

(c)RELATION TO OTHER ASSISTANCE – Scholarships provided under this section shall be not considered for the purpose of awarding Federal grant assistance under this title, except that in no case shall the total amount of student financial assistance awarded to a student under this title exceed such student’s total cost of attendance.

(d)ELIGIBLE STUDENTS – A student eligible for assistance under this section is a student who—

- (1) is less than 22 years old at time of first scholarship award under this section;
- (2) receives a secondary school diploma or its recognized equivalent on or after January 1, 1993;
- (3) is enrolled or accepted for enrollment in a program of undergraduate instruction at an institution of higher education that is located within the State’s boundaries, except that, at the State’s option, an eligible entity may offer scholarship program portability for recipients who attend institutions of higher education outside such State; and
- (4) who participated in the early intervention component required under section 404D.

(e) PRIORITY – The Secretary shall ensure that each eligible entity places a priority on awarding scholarships to students who will receive a Federal Pell Grant for the academic year for which the scholarship is awarded under this section.

(f) SPECIAL RULE – An eligible entity may consider students who have successfully participated in programs funded under chapter 1 to have met the requirements of subsection (d)(4).

SEC. 404F. 21ST CENTURY SCHOLAR CERTIFICATES.

(a) AUTHORITY – The Secretary using funds appropriated under section 404H that do not exceed \$200,000 for a fiscal year--

- (1) shall ensure that certificates, to be known as 21st Century Scholar Certificates, are provided to all students participating in programs under this chapter; and
- (2) may as practicable, ensure that such certificates are provided to all students in grades 6 through 12 who attend schools at which at least 50 percent of the students enrolled are eligible for a free or reduced price lunch under the National School Lunch Act.

(b) INFORMATION REQUIRED – A 21st Century Scholar Certificate shall be personalized for each student and indicate the amount of Federal financial aid for college which a student may be eligible to receive.

SEC. 404G. EVALUATION AND REPORT.

(a) EVALUATION – Each eligible entity receiving a grant under this chapter shall biennially evaluate the activities assisted under this chapter in accordance with the standards described in subsection (b) and shall submit to the Secretary a copy of such evaluation. The evaluation shall permit service providers to track eligible student

progress during the period such students are participating in the activities and shall be consistent with the standards developed by the Secretary pursuant to subsection (b).

(b) EVALUATION STANDARDS – The Secretary shall prescribe standards for the evaluation described in subsection (a). Such standards shall—

(1) provide for input from eligible entities and service providers; and

(2) ensure that data protocols and procedures are consistent and uniform.

(c) FEDERAL EVALUATION – In order to evaluate and improve the impact of the activities assisted under this chapter, the Secretary shall, from not more than 0.75 percent of the funds appropriated under section 404H for a fiscal year, award one or more grants, contracts, or cooperative agreements to or with public and private institutions and organizations, to enable the institutions and organizations to evaluate the effectiveness of the program and, as appropriate, disseminate the results of the evaluation.

(d) REPORT – The Secretary shall biennially report to Congress regarding the activities assisted under this chapter and the evaluation conducted pursuant to this section.

SEC. 404H. AUTHORIZATION OF APPROPRIATIONS.

There are authorized to be appropriated to carry out this chapter \$200,000,000 for fiscal year 1999 and such sums as may be necessary for each of the 4 succeeding fiscal years.

GEAR UP PROGRAM REGULATIONS

U.S. DEPARTMENT OF EDUCATION OFFICE OF POSTSECONDARY EDUCATION PART 694 -- GAINING EARLY AWARENESS AND READINESS FOR UNDERGRADUATE PROGRAMS (GEAR UP)

Sec.

[694.1](#) What is the maximum amount that the Secretary may award each fiscal year to a Partnership or a State under this program?

[694.2](#) Which students must a Partnership, or a State that chooses to use the cohort approach in its project, serve under the program's early intervention component?

[694.3](#) What are the requirements for a cohort?

[694.4](#) Which students must a State or Partnership serve when there are changes in the cohort?

[694.5](#) What requirements must be met by a Partnership or State that chooses to provide services to private school students under the program's early intervention component?

[694.6](#) Who may provide GEAR UP services to students attending private schools?

[694.7](#) What are the matching requirements for a GEAR UP Partnership?

[694.8](#) What are the requirements that a Partnership must meet in designating a fiscal agent for its project under this program?

[694.9](#) What is the maximum indirect cost rate for an agency of a State or local government?

[694.10](#) What are the requirements for awards under the program's scholarship component under section 404E of the HEA?

[694.11](#) Under what conditions may a Partnership that does not participate in the GEAR UP scholarship component under section 404E of the HEA provide financial assistance for postsecondary education to students under the GEAR UP early intervention component?

[694.12](#) How does a State determine which State agency will apply for, and administer, a State grant under this program?

[694.13](#) What requirements must be met by a Partnership or State participating in GEAR UP with respect to 21st Century Scholarship Certificates?

[694.14](#) What requirements apply to a State that served students under the National Early Intervention Scholarship and Partnership program (NEISP) and that receives a GEAR UP grant?

[694.15](#) What priorities may the Secretary establish for a GEAR UP grant?

Authority: 20 U.S.C. 1070a-21 to 1070a-28.

Source: [65 FR 24760](#), Apr. 27, 2000, unless otherwise noted.

§694.1 What is the maximum amount that the Secretary may award each fiscal year to a Partnership or a State under this program?

(a) *Partnership grants.* The maximum amount that the Secretary may award each fiscal year for a GEAR UP Partnership grant is calculated by multiplying --

(1) \$800; by

(2) The number of students the Partnership proposes to serve that year, as stated in the Partnership's plan.

(b) *State grants.* The Secretary establishes the maximum amount that may be awarded each fiscal year for a GEAR UP State grant in a notice published in the FEDERAL REGISTER. (Authority: 20 U.S.C. 1070a-23)

§694.2 Which students must a Partnership, or a State that chooses to use the cohort approach in its project, serve under the program's early intervention component?

A Partnership, or a State that chooses to use a cohort approach in its GEAR UP early intervention component, must, except as provided in §694.4 --

- (a) Provide services to at least one entire grade level (cohort) of students (subject to §694.3(b)) beginning not later than the 7th grade;
- (b) Ensure that supplemental appropriate services are targeted to the students with the greatest needs; and
- (c) Ensure that services are provided through the 12th grade to those students. (Authority: 20 U.S.C. 1070a-22)

§694.3 What are the requirements for a cohort?

(a) *In general.* Each cohort to be served by a Partnership or State must be from a participating school --

- (1) That has a 7th grade; and
 - (2) In which at least 50 percent of the students are eligible for free or reduced-price lunch under the National School Lunch Act; or
- (b) *Public housing exception.* If the Partnership or State determines it would promote program effectiveness, a cohort may consist of all of the students in a particular grade level at one or more participating schools who reside in public housing, as defined in section 3(b)(1) of the United States Housing Act of 1937. (Authority: 20 U.S.C. 1070a-22)

§694.4 Which students must a State or Partnership serve when there are changes in the cohort?

(a) *At the school where the cohort began.* A Partnership or State must serve, as part of the cohort, any additional students who --

- (1) Are at the grade level of the students in the cohort; and
 - (2) Begin attending the participating school at which the cohort began to receive GEAR UP services.
- (b) *At a subsequent participating school.* If not all of the students in the cohort attend the same school after the cohort completes the last grade level offered by the school at which the cohort began to receive GEAR UP services, a Partnership or a State --

- (1) May continue to provide GEAR UP services to all students in the cohort; and
- (2) Must continue to provide GEAR UP services to at least those students in the cohort that attend participating schools that enroll a substantial majority of the students in the cohort. (Authority: 20 U.S.C. 1070-a22)

§694.5 What requirements must be met by a Partnership or State that chooses to provide services to private school students under the program's early intervention component?

- (a) *Secular, neutral, and nonideological services or benefits.* Educational services or other benefits, including materials and equipment, provided under GEAR UP by a Partnership or State that chooses to provide those services or benefits to students attending private schools, must be secular, neutral, and nonideological.
- (b) *Control of funds.* In the case of a Partnership or State that chooses to provide services under GEAR UP to students attending private schools, the fiscal agent (in the case of a Partnership) or a State agency (in the case of a State) must --

- (1) Control the funds used to provide services under GEAR UP to those students;
- (2) Hold title to materials, equipment, and property purchased with GEAR UP funds for GEAR UP program uses and purposes related to those students; and
- (3) Administer those GEAR UP funds and property. (Authority: 20 U.S.C. 1070a-21 to 1070a-28)

§694.6 Who may provide GEAR UP services to students attending private schools?

(a) GEAR UP services to students attending private schools must be provided --

(1) By employees of a public agency; or

(2) Through contract by the public agency with an individual, association, agency, or organization.

(b) In providing GEAR UP services to students attending private schools, the employee, individual, association, agency, or organization must be independent of the private school that the students attend, and of any religious organization affiliated with the school, and that employment or contract must be under the control and supervision of the public agency.

(c) Federal funds used to provide GEAR UP services to students attending private schools may not be commingled with non-Federal funds. (Authority: 1070a-21 to 1070a-28)

§694.7 What are the matching requirements for a GEAR UP Partnership?

(a) *In general.* A Partnership must --

(1) State in its application the percentage of the cost of the GEAR UP project the Partnership will provide for each year from non-Federal funds, subject to the requirements in paragraph (b) of this section; and

(2) Comply with the matching percentage stated in its application for each year of the project period.

(b) *Matching requirements.* (1) Except as provided in paragraph (b)(2) of this section, the non-Federal share of the cost of the GEAR UP project must be not less than 50 percent of the total cost over the project period.

(2) A Partnership that has three or fewer institutions of higher education as members may provide less than 50 percent, but not less than 30 percent, of the total cost over the project period if it includes --

(i) A fiscal agent that is eligible to receive funds under Title V, or Part B of Title III, or section 316 or 317 of the HEA, or a local educational agency;

(ii) Only participating schools with a 7th grade in which at least 75 percent of the students are eligible for free or reduced-price lunch under the National School Lunch Act; and

(iii) Only local educational agencies in which at least 50 percent of the students enrolled are eligible for free or reduced-price lunch under the National School Lunch Act.

(3) The non-Federal share of the cost of a GEAR UP project may be provided in cash or in-kind. (Authority: 20 U.S.C. 1070a-23)

§694.8 What are the requirements that a Partnership must meet in designating a fiscal agent for its project under this program?

Although any member of a Partnership may organize the project, a Partnership must designate as the fiscal agent for its project under GEAR UP --

- (a) A local educational agency; or
- (b) An institution of higher education that is not pervasively sectarian. (Authority: 20 U.S.C. 1070a-22)

§694.9 What is the maximum indirect cost rate for an agency of a State or local government?

Notwithstanding 34 CFR 75.560-75.562 and 34 CFR 80.22, the maximum indirect cost rate that an agency of a State or local government receiving funds under GEAR UP may use to charge indirect costs to these funds is the lesser of

- (a) The rate established by the negotiated indirect cost agreement; or
- (b) Eight percent of a modified total direct cost base. (Authority: 20 U.S.C. 1070a-21 to 1070a-28)

§694.10 What are the requirements for awards under the program's scholarship component under section 404E of the HEA?

(a) *Amount of scholarship.* (1) Except as provided in paragraph (a)(2) of this section, the amount of a scholarship awarded under section 404E of the HEA must be at least the lesser of --

(i) 75 percent of the average cost of attendance, as determined under section 472 of the HEA, for in-State students in 4-year programs of instruction at public institutions of higher education in the State; or

(ii) The maximum Federal Pell Grant award funded for the award year in which the scholarship will be awarded.

(2) If a student who is awarded a GEAR UP scholarship attends an institution on a less than full-time basis during any award year, the State or Partnership awarding the GEAR UP scholarship may reduce the scholarship amount, but in no case shall the percentage reduction in the scholarship be greater than the percentage reduction in tuition and fees charged to that student.

(b) *Pell Grant recipient priority.* A State, or a Partnership that chooses to participate in the scholarship component under section 404E of the HEA in its GEAR UP project --

(1) Must award GEAR UP scholarships first to students who will receive, or are eligible to receive, a Federal Pell Grant during the award year in which the GEAR UP scholarship is being awarded and who are eligible for a GEAR UP scholarship under the eligibility requirements in section 404E(d) of the HEA; and

(2) May, if GEAR UP scholarship funds remain after awarding scholarships to students under paragraph (b)(1) of this section, award GEAR UP scholarships to other eligible students (who will not receive a Federal Pell Grant) after considering the need of those students for GEAR UP scholarships.

(c) *Cost of attendance.* A GEAR UP scholarship, in combination with other student financial assistance awarded under any title IV HEA program and any other grant or scholarship assistance, may not exceed the student's cost of attendance.

(d) *Continuation scholarships.* A State, or a Partnership that chooses to participate in the scholarship component in accordance with section 404E of the HEA in its GEAR UP project, must award continuation scholarships in successive award years to each student who received an initial scholarship and who continues to be eligible for a scholarship.

(e) *Other grant assistance.* A GEAR UP scholarship may not be considered in the determination of a student's eligibility for other grant assistance provided under title IV of the HEA. (Authority: 20 U.S.C. 1070a-25)

[65 FR 24760, Apr. 27, 2000, as amended at 67 FR 67083, Nov. 1, 2002]

§694.11 Under what conditions may a Partnership that does not participate in the GEAR UP scholarship component under section 404E of the HEA provide financial assistance for postsecondary education to students under the GEAR UP early intervention component?

A GEAR UP Partnership that does not participate in the GEAR UP scholarship component may provide financial assistance for postsecondary education, either with funds under this chapter, (Under Chapter 2 of subpart 2 of Part A of Title IV of the HEA,) or with non-Federal funds used to comply with the matching requirement, to students who participate in the early intervention component of GEAR UP if --

(a) The financial assistance is directly related to, and in support of, other activities of the Partnership under the early intervention component of GEAR UP; and

(b) It complies with the requirements in §694.10. (Authority: 20 U.S.C. 1070a-21 to 1070a-28)

§694.12 How does a State determine which State agency will apply for, and administer, a State grant under this program?

The Governor of a State must designate which State agency applies for, and administers, a State grant under GEAR UP. (Authority: 20 U.S.C. 1070a-21 to 1070a-28)

§694.13 What requirements must be met by a Partnership or State participating in GEAR UP with respect to 21st Century Scholarship Certificates?

(a) A State or Partnership must provide, in accordance with procedures the Secretary may specify, a 21st Century Scholar Certificate from the Secretary to each student participating in the early intervention component of its GEAR UP project.

(b) 21st Century Scholarship Certificates must be personalized and indicate the amount of Federal financial aid for college that a student may be eligible to receive. (Authority: 20 U.S.C. 1070a-26)

§694.14 What requirements apply to a State that served students under the National Early Intervention Scholarship and Partnership program (NEISP) and that receives a GEAR UP grant?

Any State that receives a grant under this part and that served students under the NEISP program on October 6, 1998 must continue to provide services under this part to those students until they complete secondary school. (Authority: 20 U.S.C. 1070a-21)

§694.15 What priorities may the Secretary establish for a GEAR UP grant?

For any fiscal year, the Secretary may select one or more of the following priorities:

(a) Projects by Partnerships or States that serve a substantial number or percentage of students who reside, or attend a school, in an Empowerment Zone, including a Supplemental Empowerment Zone, or Enterprise Community designated by the U.S. Department of Housing and Urban Development or the U.S. Department of Agriculture.

(b) Partnerships that establish or maintain a financial assistance program that awards scholarships to students, either in accordance with section 404E of the HEA, or in accordance with §694.11, to strengthen the early intervention component of its GEAR UP project. (Authority: 20 U.S.C. 1070a-21 to 1070a-28)

PARTNERSHIP GRANTS PROGRAM OVERVIEW

Legislative Authority:

Title IV, Sections 404A-404H, of the Higher Education Act of 1965, as amended.

Purpose:

The GEAR UP program is a discretionary grant program designed to significantly increase the number of low-income students who are prepared to enter and succeed in postsecondary education. GEAR UP provides six-year grants to partnerships to provide services at high-poverty middle and high schools. GEAR UP grantees serve an entire cohort of students beginning no later than the seventh grade and follow the cohort through high school.

Description of the GEAR UP Partnership Grant Program:

Partnership grants are competitive six-year matching grants that support *early intervention* programs designed to increase college attendance and success and raise the expectations of low-income students. The maximum annual Federal contribution to a Partnership grant is \$800 for each student directly served. Generally, the Partnership's non-Federal contribution must at least match the Federal contribution by equaling at least 50 percent of the total six-year project cost.

WHO CAN APPLY

A Partnership Grant application must be submitted on behalf of a partnership between one or more local education agencies (LEA) or school districts, one or more degree-granting institutions of higher education (IHE), and at least two other entities such as community-based organizations, businesses, faith-based organizations, college student organizations, state agencies, family organizations or parent groups. Each partner should be carefully chosen for its potential to make substantive collaborative contributions to a comprehensive program that will enable low-income students to stay in school, take the right courses, and go to college.

Applications must be submitted on behalf of the Partnership by a single Partnership member that is prepared to meet the legal and administrative responsibilities of a U.S. Department of Education grantee [34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 97, 98, and 99]. This Partnership member will be the designated grant "Applicant" and will serve as the Partnership's Fiscal Agent. By statute, the Partnership's Fiscal Agent, and therefore the Applicant, must be either an LEA or an IHE. However, any member of the Partnership may take the lead in identifying the partners, gaining their commitment, and organizing the effort. In an appendix to the application, the Applicant must submit the "Applicant Organization Form and Cost Share Worksheet" and a "Partner Identification Form and Cost Share Worksheet" for each member of the partnership.

Partnership projects must be based on a partnership (new or existing) between:

- At least one degree-granting institution of higher education;
- At least one local educational agency (school district) on behalf of one or more schools each with a 7th grade and the high school(s) that the students at these middle schools would normally attend. Generally, at least 50 percent of the students attending the participating school(s) with a 7th grade must be *eligible* for free or reduced-priced lunches. However as an alternative, Partnerships may choose to work with one or more grade levels of students, beginning not later than the 7th grade, who reside in public housing; and
- At least two additional community organizations, such as businesses, professional associations, community-based organizations, faith-based organizations, state or local agencies, philanthropic organizations, religious groups, and other public or private organizations (e.g., college student organizations).

PARTNERSHIP GRANTS MUST:

- *Promote rigorous academic coursework* based on college entrance requirements;
- *Work with a whole grade level of students* in order to raise expectations for all students;
- *Start with students no later than the 7th grade in a school with a 7th grade, follow those students into high school, and continue through high school graduation* with comprehensive services including mentoring, tutoring, counseling, and other activities such as after-school programs, summer academic and enrichment programs, and college visits; and
- *Inform students and parents about college options and financial aid*, including providing students with a 21st Century Scholar Certificate — an early notification of their eligibility for financial aid.

A Partnership must use a whole grade (cohort) approach. That is, a Partnership must provide services to *all* students in the participating grade levels, rather than a selected group of students. Services must be provided to a cohort starting no later than the 7th grade and continuing through high school. Each cohort must include either:

- a) All the students in a particular grade level(s) at a participating school(s) that has a 7th grade and in which at least 50 percent of the students are eligible for free or reduced-price lunch under the National School Lunch Act; or
- b) All the students in a particular grade level(s) who reside in public housing, as defined in section 3(b)(1) of the United States Housing Act of 1937.

The cohort approach requires that services must be provided to all students in a participating grade level or “cohort” until that grade level moves on to the next school—for example, moving from middle school to high school. New students at the same grade level as the students in the GEAR UP cohort, who enroll in the school in which the cohort began to receive services, must be considered a part of the cohort and provided GEAR UP services as well. Those students who leave the cohort by transferring to a school that is not participating in GEAR UP, for example, may continue to receive GEAR UP services, but are not required to be served.

Once the cohort moves on to another school (for example, moving from middle school to high school), a GEAR UP project must continue to provide services to at least those students in the cohort who attend participating secondary schools that enroll *a substantial majority* of the students in the cohort. However, a GEAR UP project is not required to follow all individual students regardless of which school they attend.

Special Note: *Partnership grants originally funded with FY 2006 funds may not use those funds to serve GEAR UP students originally served under a previous grant. For example, FY 2006 funds cannot be used to serve students who received funding under a FY 2000 grant, but have not yet graduated from high school. FY 2006 funds can only be used to serve new cohorts beginning no later than the seventh grade.*

Partnership projects are required to provide early college preparation and awareness services through comprehensive mentoring, counseling — including financial aid counseling and information about opportunities for Federal financial aid, and activities and information regarding fostering and improving parent involvement in preparing students for college, college admissions and achievement tests, and college application procedures — outreach, and supportive services for participating students.

Each student in a GEAR UP project will receive, through the program, a “21st Century Scholar Certificate” from the Secretary of Education. These certificates will be personalized by the grantee and will indicate the amount of Federal financial aid for college that a student may be eligible to receive. Grantees are responsible for personalizing the certificates by adding the students’ names, and distributing these certificates to GEAR UP students. Grantees are encouraged to host a special event attended by families and community leaders where students are awarded their certificates.

Each Partnership must ensure that its activities are coordinated with other GEAR UP projects serving the same school district or state, as well as with other related Federal and non-Federal programs as stated above. Partnerships may provide scholarships to students, but are *not required* to do so.

PUBLIC HOUSING APPROACH

Whole grade levels of students residing in public housing, as defined in section 3(b)(1) of the United States Housing Act of 1937, are eligible to receive services under GEAR UP Partnerships. This includes public housing facilities operated by Public Housing Agencies. Section 8 housing is not included in the definition of public housing eligible for GEAR UP Partnerships. A cohort of students residing in public housing may be formed at any school or multiple schools with an appropriate grade level. The school does not have to have a 7th grade and does not have to meet the 50 percent eligibility for free or reduced-price lunch requirement. A cohort of students residing in public housing includes all the students in a particular grade level who reside in public housing, but does not include other students in that grade level who do not reside in public housing.

The Public Housing Agency in your area is the best source for obtaining information regarding which publicly assisted housing facilities are eligible under the GEAR UP program. Names and addresses of Public Housing Authorities can be obtained by calling the Department of Housing and Urban Development (HUD) local offices or through the HUD website at <http://www.hud.gov>.

COORDINATION AND PROJECT MANAGEMENT

Coordinator

Partnership projects must have a coordinator who spends at least 50 percent of his or her time on the GEAR UP project. As GEAR UP projects tend to be large and complex, in most cases, we advise projects to have a full-time coordinator.

Indirect Costs

Consistent with section 75.562 of EDGAR, all grant recipients are limited to a maximum indirect cost rate of eight percent of a modified total direct cost base or the amount permitted by its negotiated indirect cost rate agreement, whichever is less. Notwithstanding 34 CFR 75.560-75.562 and 34 CFR 80.22, the maximum indirect cost rate that an agency of a state or local government receiving funds under GEAR UP may use to charge indirect costs to these funds is the lesser of (a) the rate established by the negotiated indirect cost agreement; or (b) eight percent of a modified total direct cost base. (Authority: 20 U.S.C. 1070a-21 to 1070a-28). Unrecovered indirect costs cannot be used to fulfill non-Federal matching requirements.

Out Year Costs

Partnership and state grants originally funded with FY 2006 funds will receive level funding in the out years based on approved funding for the first year award. For example, if a grantee requests \$100,000 of funding in year 1 of the grant and that amount is approved, the grantee will receive \$100,000 of Federal funding for years 2 through 6 of the grant.

Participation in Conferences and Workshops

It is essential for grantees to collaborate, together and with others, on strategies for improving the academic experiences of low-income students. To achieve this objective, applicants should plan and budget for attendance at annual conferences and workshops, in the event that they are awarded a grant. Each trip will be for four days for up to six persons paid for out of GEAR UP funds (Federal and/or non-Federal). Grantees may also make prudent use of grant funds to participate in other conferences during the year, if these activities will contribute to their efforts to prepare GEAR UP students for college and help inform parents about the cost of college and student financial assistance. *Before using GEAR UP Federal or matching funds to attend conferences not sponsored or co-sponsored by the U.S. Department of Education, grantees must obtain approval from their program officer at the U.S. Department of Education.*

NON-FEDERAL MATCH REQUIREMENT

Partnerships are required to match the Federal contribution dollar-for-dollar, that is, the non-Federal contribution must equal at least 50 percent of the total six-year project cost. This non-Federal match may be met through cash or in-kind contributions and cannot be waived. ***Please note that funded applicants will be held to the matching commitment proposed in the application for funding, even if the proposed match is higher than the percent required by statute.*** No points will be awarded for match exceeding the 50 percent level required by statute. Readers will look for projects in which the budgets are sufficient to provide the services proposed in their applications, projects in which the partners have a demonstrated commitment to the project, and projects in which there is potential support for the project after Federal funding ends. We are more interested in strong demonstrated commitment at a level that is sustainable over time than larger commitments of match that are less likely to be realized or sustained.

Matching contributions may be made from any non-Federal source, and must be documented in accordance with relevant Office of Management and Budget (OMB) Circulars and EDGAR, 74.23 and 80.24, as applicable. Documentation of matching contributions must contain adequate source documentation for the claimed cost sharing, provide clear valuation of in-kind matching, and provide support of cost-sharing by grant partners. Grantees are required to value in-kind contributions in accordance with relevant OMB circulars and EDGAR, 74.23 and 80.24. In most cases, grantees must value in-kind contributions of facilities and equipment using depreciation rather than fair market value.

Reduced Matching Contribution:

Under specific circumstances, an applicant may propose a non-Federal contribution of less than 50 percent, but not less than 30 percent of the total cost of the project. This option exists only in specific cases where the level of poverty in the school district can be described by all four of the following conditions:

1. 75 percent of all the students in the participating school(s) with a seventh grade in the Partnership are eligible for free and reduced-priced lunch; and
2. 50 percent of all the students in the participating local education agency (LEA) in which the participating school(s) is located are eligible for free or reduced-price lunch; and
3. The participating LEA in which 50 percent of all the students are eligible for free or reduced-price lunch is the Partnership's designated fiscal agent; and
4. The Partnership has three or fewer IHEs as members.

Alternatively, the applicant can apply for a waiver if all four of the following conditions are met:

1. 75 percent of all the students in the participating school(s) with a seventh grade in the Partnership are eligible for free and reduced-priced lunch; and
2. 50 percent of all the students in the participating local education agency (LEA) in which the participating school(s) is located are eligible for free or reduced-price lunch; and
3. The Partnership's designated fiscal agent is a Historically Black College or University (HBCU), a Hispanic Serving Institution (HSI), a Tribally Controlled College or University (TCCU), a Native Hawaiian Serving Institution (NHSI) or an Alaska Native Serving Institution (ANSI) under Title V or Part B of Title III or section 316 or 317 of the HEA; and
4. The Partnership has three or fewer IHEs as members.

If an applicant meets either of these sets of conditions, a waiver for the minimum non-Federal contribution of the Partnership may be allowed. Under no circumstances will the match be lower than 30 percent of the total cost of the project.

NOTE: The rationale for this reduced minimum non-Federal contribution is to provide those Partnerships that may lack the resources to meet the minimum 50 percent non-Federal contribution the ability to compete for a GEAR UP grant. Applicants that meet the above cited criteria for this exception, but who have the resources (in cash and/or in-kind) to make the greater non-Federal contribution, may not wish to propose a reduced match if they are concerned that it may diminish the quality of services they can provide GEAR UP participants. The technical merit of submitted grant applications will be based solely on the published selection criteria.

Applicants that wish to apply for a reduced matching percentage must indicate their eligibility and must propose matching budgets reflective of the reduced match percentage. Successful applicants will be required to provide match as proposed in their application budgets, even if they are eligible to provide a lower match percentage.

All grant recipients are limited to a maximum indirect cost rate of eight percent of a modified total direct cost base or the amount permitted by its negotiated indirect cost rate agreement, whichever is less. Unrecovered indirect costs cannot be used to fulfill non-Federal matching requirements.

WHAT THE PARTNERSHIP CAN DO

EXAMPLES OF ACTIVITIES IN THE EARLY INTERVENTION COMPONENT ARE:

Tutoring

Fundamental to supporting classroom instruction, tutoring supports commitment and incremental success vital to motivating students. While GEAR UP funds can be used to cover costs associated with tutoring, local college students and other partners, to satisfy part of the matching requirement, can also provide these services. What better way to demonstrate that college is possible than getting the extra academic support low-income middle and high school students need one-on-one from successful college students?

Professional Development and Curriculum Improvement

GEAR UP expressly encourages the support of professional development and curriculum improvement. Strengthening subject matter knowledge and teaching skills among classroom teachers is integral to GEAR UP's mission of fostering long-term, sustainable school-wide improvements. Funds may be used for training, courses, materials, textbooks, and other professional resources to strengthen classroom instruction. Successful applicants will expressly show how professional development and curriculum improvement benefit GEAR UP student cohorts.

21st Century Scholar Certificates

All GEAR UP students will receive a 21st Century Scholar Certificate congratulating them on their commitment and reminding them that if they study hard, take challenging courses, and finish high school, they will be able to go to college. On the reverse side of the certificate will be a summary of how much Federal aid may be available to them based on income. Supplemental information will also be provided that gives further detail about the forms of available Federal financial assistance and how families that can learn more about Federal financial aid programs.

The Department supplies both the 21st Century Scholar Certificates and the accompanying supplemental material. The grantee is responsible for personalizing the certificates by adding the students' names, and distributing the certificates to participating GEAR UP students. Grant funds may be used for hosting an event where families, faculty, partners, and others supporting the local Partnership are invited and students receive their certificates.

After-School and Saturday Programs

GEAR UP funds can be used to extend the school day and week by providing teachers, classrooms, and materials for after school programs. The level of emphasis on improving skills and subject knowledge, as opposed to a focus on advanced academic preparation, can vary

depending on the project and should be tailored to the needs of the student cohort(s). GEAR UP funds can also be used to provide refreshments (e.g., after-school snacks) and the transportation associated with these programs, though they cannot be used for purchasing school buses and the like. Projects are encouraged to use GEAR UP funds to leverage Federal, state and local funds to supplement these programs.

Summer Programs

GEAR UP funds can support summer programs. Summer programs are sometimes designed around themes such as science and math or computer camps. When college campuses are not fully utilized in summer months, they may supply facilities and other resources for such programs, which can be used as part of a grantee's non-Federal contribution to the project's cost.

Mentoring

Mentoring services provide valuable opportunities to inspire GEAR UP students connecting academic work with practical application. Through mentoring, the real life benefits of studying hard and staying in school are impressed on the students by personal observation. Mentors can also provide friendship, guidance, connection to other resources, and help in resolving conflicts and problems. Incidental expenses related to mentoring and coordination and training can be paid out of grant funds. However, it is more common that grantees provide mentoring services as a matching contribution.

College Counseling

GEAR UP grants can be used in a variety of ways to support college counseling—for example, funds can be used for college fairs, purchasing or printing information kits, and underwriting visits to college campuses. In short, GEAR UP grants can support nearly any reasonable approach to inform and counsel students on what they must do to prepare for college.

Financial Counseling

Research indicates that low-income families often overestimate the cost of higher education. When college is perceived as unaffordable, there is little attempt to learn about college cost or the numerous forms of financial assistance that help students pay for college. Research also shows that communicating with and engaging families in their children's education is a critical step in getting students on the pathway to college. GEAR UP grants can be used to provide the tools needed to reach out and communicate effectively with families about the real costs of college. GEAR UP can fund parent education programs and materials. Previous GEAR UP grantees have found that parental engagement is one of the most difficult aspects of administering a GEAR UP grant. Applicants should consider how to best reach their individual populations. Strategies could include visiting families at home, events to attract parents, taking parents on college visits, and other activities.

Evaluation of Project Performance

Your application must explain your GEAR UP project's overall objectives. These objectives must be clear and measurable, and be outcomes-oriented (i.e., related to achieving specific, desirable results of your GEAR UP services for participants) rather than process-oriented. The activities that you propose to implement for students, parents, and teachers must be linked to the objectives you are aiming to achieve.

Each year, successful applicants will be required to submit to the Department an annual performance report that includes evidence of progress in meeting the project's objectives and program's objectives which are:

- Objective 1:** Increase the academic performance and preparation for post-secondary education for GEAR UP students.
- Objective 2:** Increase the rate of high school graduation and participation in post-secondary education for GEAR UP students.
- Objective 3:** Increase GEAR UP students' and their families' knowledge of post-secondary education options, preparation and financing.

Therefore, if you are chosen as a GEAR UP grantee, you will be required to consistently collect, analyze, and report on the participation and outcome data that enables the Department to verify that your GEAR UP project is accomplishing the proposed objectives during each year.

In this application, you need to report on each of your project objectives and associated **performance measures** for each of those objectives. (Note: there can be multiple performance measures tied to each project objective).

Your performance measures should include the following:

1. Government Performance and Results Act of 1993 (GPRA) measures, which are related to GEAR UP's performance indicators that are published in this application. (Please refer to the GEAR UP GPRA Performance Indicators for these measures.) These indicators include students' completion of courses such as Pre Algebra by the end of seventh grade, students' completion of Algebra I by the end of ninth grade, and students' and parents' knowledge of necessary academic preparation for college. An example of a performance measure related to a GPRA indicator would be "Increase the percentage of GEAR UP students who have completed Algebra I by ninth grade by 10 percentage points each year of the project."
2. Program measures, which are additional performance measures the GEAR UP program office has established that are aligned with the GEAR UP statute and program goals. These specific measures are (a) average daily attendance at the GEAR UP schools, (b) percentages of GEAR UP students promoted on time to successive grade levels, and (c) students' education aspirations/expectations (i.e., percentages of GEAR UP students who expect to graduate from high school). An example of a program performance measure could be "Each project year, at least 95 percent of GEAR UP students will be promoted to the next grade level on time."

3. Project-specific measures, which are performance measures in addition to those mentioned above that you establish and include in your GEAR UP application. These measures can relate to, for instance, academic factors such as grade point averages or standardized test scores. An example of a project-specific performance measure could be “Increase the average percentile rank of GEAR UP students’ math scores by 5 points each year.”

In addition to reporting the specific performance measures for each of your objectives, your application must show the **targets** you have set for each of those measures. Targets must be set for each of the six years of your GEAR UP project. Please note that these targets are set **after** you have collected baseline data on the performance measures. If you have already collected baseline data on any of the performance measures (e.g., baseline data such as the 2003-04 average daily attendance of seventh graders in the middle school you propose to serve in your GEAR UP project) and included these data in this application, please set targets for each year of your GEAR UP project on those specific performance measures and include them in your application as well. If you have **not** included baseline data for each performance measure in your application, then baseline data should be collected during the first year of the project (on those specific measures). Once the baseline data are obtained for a particular measure, targets for that measure can then be set for the second and subsequent years of the project.

Each year, when you submit your annual performance report, Department of Education GEAR UP staff will compare the target you have established for each performance measure to the actual performance data.

SELECTION CRITERIA FOR PARTNERSHIP GRANTS

The Secretary considers six criteria drawn from the Education Department General Administrative Regulations (EDGAR): (1) the need for the project; (2) the quality of project services; (3) the quality of project personnel; (4) the quality of the management plan; (5) the quality of the project evaluation; and, (6) the adequacy of project resources.

1. NEED FOR THE PROJECT (15 POINTS):

In determining the need of the proposed project, the Secretary considers the following factors:

- The magnitude or severity of the problem to be addressed by the proposed project; and
- The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weakness.

2. QUALITY OF PROJECT SERVICES (20 POINTS):

In determining the quality of project services provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers the following factors:

- The extent to which the project services are appropriate to the needs of the intended recipients or beneficiaries of those services;
- The extent to which the project services reflect up-to-date research and knowledge of effective practices;
- The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services; and
- The long-term and systemic effects of the services to be provided by the proposed project on the intended recipients of those services.

3. QUALITY OF PROJECT PERSONNEL (15 POINTS):

In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age or disability. In addition, the Secretary considers the following factors:

- The qualifications, including relevant training and experience, of the project director or principal investigator; and
- The qualifications, including relevant training and experience, of key personnel.

4. QUALITY OF THE MANAGEMENT PLAN (15 POINTS):

In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

- The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks;
- The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project;
- The extent to which the time commitments of the project director and other key project personnel are appropriate and adequate to meet the objectives of the proposed project; and
- How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate.

5. QUALITY OF THE PROJECT EVALUATION (20 POINTS):

In determining the quality of the project evaluation, the Secretary considers the following factors:

- The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible; and
- The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

6. ADEQUACY OF RESOURCES (15 POINTS):

In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

- The adequacy of support, including facilities, equipment, supplies and other resources, from the applicant organization or the lead applicant organization;
- The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project;
- The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits; and
- The potential for continued support of the project after Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support.

HOW TO APPLY

Application deadline date: March 9, 2006

Each submission should be concise and clearly written. Each submission must include the five sections of the Application and the sections of the Appendix listed here.

The Application

Each application must have the following five sections:

1. **Title Page:** Use the title page form included in this application package to cover each application copy.
2. **Table of Contents:** Include a one-page table of contents.
3. **Abstract:** Attach a one-page, **double-spaced** abstract following the Title Page (this is in addition to the abstract requested on the Title Page itself). The abstract should mention the need being addressed, the proposed activities, and the intended outcomes.
4. **Narrative:** The application narrative (Part 4 of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. As a guide for reviewers, applicants are encouraged to label each section in the narrative by its associated criterion. **You must limit Part 4 to the equivalent of no more than 40 double-spaced pages. Applications that exceed the page limit will not be considered for funding and will be returned to the applicant.** A page is 8.5 inches by 11 inches, on one side only, with 1-inch margins at the top, bottom, and both sides. Double space all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures and graphs. Use a font that is 12 point or larger (characters per inch). The page limits do not apply to the Title Page Form (OMB No. 1840-0740), the Budget Information including the itemized budget; the other application forms; the assurances and certifications; or the table of contents. Any letters of support, resumes, references and endnotes will be counted as part of the application narrative. However, you must include all of the application narrative in Part 4. We will reject your application if you apply these standards and exceed the page limit or apply other standards and exceed the equivalent page limit.
5. **Budget:** Use the attached Project Budget Summary Form to present a complete budget summary for each year of grant funding. Please provide a justification for this budget by including, **for each year**, a narrative for each budget line item, which explains: (1) the basis for estimating the costs of professional personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs, and any projected expenditures; (2) how the major cost items relate to the proposed activities; and (3) the costs of evaluation. Please include travel funds to attend annual conferences and workshops. Each trip will be for four days for up to six persons paid for out of project funds. At these meetings, each grant recipient will have an opportunity to strengthen its efforts by collaborating with other grantees funded in this program and receive technical assistance from U.S. Department of Education personnel. Applicants are reminded that GEAR UP funds must be used to supplement, **not supplant**, funds for existing programs.

The Appendix

An appendix that includes the following numbered sections should accompany each application:

- 1. APPLICANT ORGANIZATION IDENTIFICATION FORM AND COST SHARE WORKSHEET:** The support, contribution, and commitment of the partner serving as the grant Applicant should be described clearly within the narrative. Additionally, include in this section of the appendix, an Applicant Organization Identification Form and Cost Share Worksheet to clearly document the role and contribution of the Partnership's Applicant Organization.
- 2. PARTNER IDENTIFICATION FORM AND COST SHARE WORKSHEET:** The support, contributions, and commitment of each partner should be described clearly within the narrative. Additionally, include in this section of the appendix, a Partner Identification Form and Cost Share Worksheet for each member of the partnership, other than the lead partner, to clearly document the role and contribution of each partner. The total of the contributions on each of the Cost Share Worksheets should equal the total matching dollars on the Project Budget Summary Form.
- 3. DOCUMENTATION OF STUDENT ELIGIBILITY FOR FREE AND REDUCED-PRICED LUNCH:** By statute, Partnerships using a school-based cohort design (as opposed to a public housing cohort) must serve all the students in a particular grade level(s) at the participating school(s) that has a 7th grade and in which *at least 50 percent of the students are eligible for free or reduced-priced lunch under the National School Lunch Act*. Partnership applicants who will use a school-based cohort design must provide documentation in this section that the 50 percent requirement of student eligibility for "free or reduced-priced lunch" in participating schools has been met.

If the Partnership applicant believes it meets the requirements for a reduced non-Federal match (as low as 30 percent of the total project cost) and wishes to exercise that option, it must provide documentation in this section that its student cohort(s) is in a participating school(s) in which *at least 75 percent of the students are eligible for free or reduced-priced lunch under the National School Lunch Act*. **And**, the participating school(s) is in a school district(s) in which *at least 50 percent of the students are eligible for free and reduced-priced lunch under the National School Lunch Act*.

- 4. EQUITABLE ACCESS AND PARTICIPATION:** Section 427 of the General Education Provisions Act (GEPA) requires each applicant to include in its application a description of proposed steps to ensure equitable access to, and participation in, its Federally-assisted program. Each application should include this description in a clearly identified section of the appendix. The statute, which allows applicants discretion in developing the required description, highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. You may use local circumstances to determine the extent to which these or other barriers prevent equitable participation by students, teachers, parents or other community members. Your description need not be lengthy, but it should include a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances, and it should support the discussion of similar issues in the narrative section of the application.

5. **ED 80-0013, CERTIFICATION REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS:** This combination form is included in this package. Applicants should refer to the regulations cited in each section of the form to determine the certification to which they are required to attest.
6. **ED 80-0014 CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION-- LOWER-TIER COVERED TRANSACTIONS:** This form is included.
7. **STANDARD FORM 424B, ASSURANCES-NON-CONSTRUCTION PROGRAM:** This form is included. Applicants should read each section of the form to determine which of the assurances apply to their project.
8. **STANDARD FORM LLL, DISCLOSURE OF LOBBYING ACTIVITIES:** This form is included. Applicants should read the accompanying directions before filling out this form.

Other Attachments

Other attachments are not encouraged. Reviewers will have a limited time to read each application. Their consideration of the application against the selection criteria will be limited to the five sections of the Application and the eight sections of the Appendix listed above. Supplementary materials such as videotapes, CD-ROMs, files on disks, commercial publications, press clippings, testimonial letters, etc., will not be reviewed and will not be returned to the applicant.

Proprietary Information

Applications may contain innovative technical or business ideas that, if released to the public, could reasonably be expected to cause substantial competitive harm to the consortium member that submitted that information. Bold legends clearly identifying information that a consortium member believes are of a proprietary nature should appear at the top and bottom of each page on which it appears. The U.S. Department of Education will take this designation into account in determining whether this information can be released in response to a Freedom of Information Act request.

INSTRUCTIONS FOR TRANSMITTING APPLICATIONS

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date. The regular hours of operation of the e-Grants website are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday (Washington, DC time). Please note that the system is unavailable on Sundays, and after 7:00 p.m. on Wednesdays for maintenance (Washington, DC time). Any modifications to these hours are posted on the e-Grants Web site.

If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgment when we receive your application.

Applications Sent by Mail

You must mail the original and two copies of the application on or before the deadline date to. **(Optional)** – To help expedite our review of your application, we would appreciate your voluntarily including an additional (Fill in), copies of your application.

Please mail copies to:

**U.S. Department of Education
Application Control Center
Attention: CFDA# (fill in number and suffix letter)
400 Maryland Avenue, SW
Washington, DC 20202 - 4260**

You must show one of the following as proof of mailing:

- (1) A legibly dated U. S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U. S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Services.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

Applications Delivered by Commercial Carrier:

Special Note: Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; or U. S. Postal Service Express Mail) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the mailing instructions under the appropriate delivery method.

Applications that are delivered by commercial carrier, such as Federal Express, United Parcel Service, etc. should be mailed to the:

**U.S. Department of Education
Application Control Center – Stop 4260
Attention: CFDA# (fill in number and suffix letter)
7100 Old Landover Road
Landover, MD 20785-1506**

Applications Delivered by Hand

You or your courier must hand deliver the original and number of copies requested of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date. **(Optional)** – To help expedite our review of your application, we would appreciate your voluntarily including an additional (Fill in), copies of your application.

Please hand deliver copies to:

**U.S. Department of Education
Application Control Center
Attention: CFDA# (fill in number and suffix letter)
550 12th Street, SW
PCP - Room 7041
Washington, DC 20202 – 4260**

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays and Federal holidays.

Notification of Award

Applicants will be notified on or around August 15, 2006 whether their application is being funded.

Assurances and Certifications

Applications selected for funding will require a signed Form ED 80-0013 (“Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements”), ED 80-0014 (Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion), Standard Form 424B (“Assurances-Non-Construction Programs”), and Standard Form LLL (“Disclosure of Lobbying Activities”) before an award is made.

**IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS
IN U.S. DEPARTMENT OF EDUCATION CONTRACT AND GRANT PROGRAMS**

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste.

For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that

**Failure to meet a deadline will mean that an applicant will be rejected
without any consideration whatever.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.)

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Procurement Regulations and implementing ED Procurement Regulations.

Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracting Specialist identified on the face page of the RFP.

Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulations is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may, therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

ED FORM 5348, 8 '92 REPLACES ED FORM 5348, 6 '86, WHICH IS OBSOLETE

**GAINING EARLY AWARENESS AND READINESS
FOR UNDERGRADUATE PROGRAMS GRANT APPLICATION
TITLE PAGE FORM**

CFDA Number: 84.334A

OMB No. 1840-0740

Form Exp: 2/29/2008

1. Applicant Organization

Legal Name

Address (Complete)

2. Application No. (For ED Use Only)

3. DUNS Number

4. Point of Contact

Name and Title

Telephone:

Fax:

E-mail:

Check here if this person will be the Project Coordinator. ☐

5. Tax Identification Number

6. Lead Applicant

☐ Institution of Higher Application

☐ Local Education Agency

7. Federal Funds Requested:

1st Year _____

2nd Year _____

3rd Year _____

4th Year _____

5th Year _____

6th Year _____

TOTAL _____

8. Type of Grant:

☐ Partnership

9. Match Reduction Requested

☐ Yes ☐ No

(If yes, please indicate eligibility and submit a budget reflecting reduced match in the narrative and budget sections of your application).

10. Project Title

11. Proposed Project Dates:

____/____/____ ____/____/____

Start Date:

End Date:

12. Are you participating in any other GEAR UP grant application? ☐ No ☐ Yes

If Yes, Name of Applicant:

13. Is the applicant delinquent on any

Federal debt? ____ Yes ____ No

(If "Yes," attach an explanation.)

14. Are any research activities involving human subjects planned at any time during the proposed project period? ☐ Yes (Go to 14a) ☐ No (Go to item 15)

14a. Are all the research activities proposed designated to be exempt from the regulations?

__ Yes (Provide Exemption (s) #): _____ __ No (Provide Assurance #): _____

15. Brief Abstract of Application: *(Do not leave this blank)*

16. Certification by Authorizing Official

The applicant certifies to the best of his/her knowledge and belief that the data in this application are true and correct and that the filing of the application has been duly authorized by governing body of the applicant, and that the applicant will comply with the attached assurances if assistance is approved.

Name _____ **Title** _____ **Telephone** _____

E-mail _____ **Date** _____

Signature _____

STUDENTS TO BE SERVED FORM

For *all* Partnership Grants using a cohort approach:

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6
Kindergarten						
1 st						
2 nd						
3 rd						
4 th						
5 th						
6 th						
7 th						
8 th						
9 th						
10 th						
11 th						
12 th						
Total Students Served						

For *all* Partnership Grants using a cohort approach:

Target School(s)	Grade levels offered in the school(s)

For Partnerships using a *school-based* cohort approach:

Check only one

At least 50% of all the students in the participating school(s) from which the cohort(s) is drawn are *eligible* for free or reduced-priced lunch under the National School Lunch Act.

At least 75% of all the students in the participating school(s) from which the cohort(s) is drawn *and* at least 50% of all the students in each participating school district from which the participating school(s) are drawn are *eligible* for free or reduced-priced lunch under the National School Lunch Act.

PROJECT BUDGET SUMMARY FORM**FEDERAL FUNDS REQUESTED FROM THE GEAR UP GRANT PROGRAM**

Direct Costs:	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	TOTAL
1. Salaries and Wages							
2. Employee Benefits							
3. Travel							
4. Materials and Supplies							
5. Consultants & Contracts							
6. Other							
A. Total Direct Costs: <i>(Sum of lines 1-6)</i>							
B. Total Indirect Costs*: <i>(cannot be greater than 8% of Total Direct Costs)</i>							
C. Equipment							
D. Scholarships/ Tuition Assistance							
E. TOTAL REQUESTED <i>A + B + C + D (Enter these figures in Item 7 of the Title Page)</i>							

All items must be addressed in the detailed budget justification

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line B, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?
☐ Yes ☐ No
- (2) If yes, please provide the following information:
 Period Covered by the Indirect Cost Rate Agreement:
 From: ___/___/___ To: ___/___/___ (mm/dd/yyyy)
 Approving Federal agency: ___ ED ___ Other (please specify): _____
- (3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that: ___ Is included in your approved Indirect Cost Rate Agreement? or ___ Complies with 34 CFR 76.564(c)(2)?

MATCHING FUNDS PROVIDED BY NON-FEDERAL SOURCES

Direct Costs:	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	TOTAL
1. Salaries and Wages							
2. Employee Benefits							
3. Travel							
4. Materials and Supplies							
5. Consultants & Contracts							
6. Other							
A. Total Direct Costs: <i>(Sum of lines 1-6)</i>							
B. Total Indirect Costs: <i>(cannot be greater than 8% of Total Direct Costs)</i>							
C. Equipment							
D. Scholarships/ Tuition Assistance							
E. TOTAL MATCHING FUNDS FROM NON- FEDERAL SOURCES							

All items must be addressed in the detailed budget justification

APPLICANT ORGANIZATION IDENTIFICATION FORM AND COST SHARE WORKSHEET

Please provide the following information for the Applicant Organization and its share of matching commitments (cash or in-kind) for each year of the proposed project.

1. Type of Institution/Organization:

☐ Local Education Agency

☐ Institution of Higher Education

(check all that apply)

A. ☐ Four-Year or ☐ Two-Year

B. ☐ Public or ☐ Private

C. ☐ College or ☐ University

D. ☐ HBCU ☐ HSI ☐ TCCU ☐ NHSI OR ☐ ANSI

2. Matching Funds Provided by Applicant Organization

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	TOTAL
1. Salaries and Wages							
2. Employee Benefits							
3. Travel							
4. Materials and Supplies							
5. Consultants and Contracts							
6. Other							
A. Total Direct Costs (Sum of lines 1-6)							
B. Total Indirect Costs: (cannot be greater than 8% of Total Direct Costs)							
C. Equipment							
D. Scholarships/ Tuition Assistance							
E. TOTAL COMMITMENT (Lines A + B+ C+D)							

PARTNER IDENTIFICATION FORM AND COST SHARE WORKSHEET

Please complete one form for each partner (other than the Applicant Organization).

1. Institution/Organization _____

Point of Contact: Name _____

Title _____ Department _____

Address _____

City _____ State _____ Zip _____

Telephone _____ e-mail _____ Fax _____

2. Type of Organization:

☐ Local Education Agency

☐ Institution of Higher Education

(check all that apply)

A. ☐ Four-Year or ☐ Two-Year

B. ☐ Public or ☐ Private

C. ☐ College or ☐ University

D. ☐ HBCU ☐ HSI ☐ TCCU ☐ NHSI or ☐ ANSI

Other types:

☐ Business

☐ Community-based organization

☐ Professional association

☐ Philanthropic Organization

☐ State Agency

☐ Other: _____

3. Non-Federal Fund contribution provided by Partner

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	TOTAL
1. Salaries and Wages							
2. Employee Benefits							
3. Travel							
4. Materials and Supplies							
5. Consultants and Contracts							
6. Other							
A. Total Direct Costs (Sum of lines 1-6)							
B. Total Indirect Costs: (Cannot be greater than 8% of Total Direct Costs)							
C. Equipment							
D. Scholarships/Tuition Assistance							
E. TOTAL (Lines A + B+ C+D)							

Please summarize the partner's specific support and commitment to the project in this space.

SIGNATURE OF AUTHORIZING OFFICIAL: _____

NAME OF AUTHORIZING OFFICIAL: _____

TITLE OF AUTHORIZING OFFICIAL: _____

CERTIFICATION REGARDING LOBBYING

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0013

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or Federally assisted programs. These requirements apply

- to all interests in real property acquired for project purposes regardless of Federal participation in
7. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
 9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for Federally assisted construction subagreements.
 10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
 11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
 12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
 13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
 14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
 15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
 16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
 17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
 18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

1. Type of Federal Action: _____ a. contract _____ b. grant _____ c. cooperative agreement _____ d. loan _____ e. loan guarantee _____ f. loan insurance	2. Status of Federal Action: _____ a. bid/offer/application _____ b. initial award _____ c. post-award	3. Report Type: _____ a. initial filing _____ b. material change For material change only: Year _____ quarter _____ Date of last report _____
4. Name and Address of Reporting Entity: _____ Prime _____ Subawardee Tier _____, if known: Congressional District, if known:		5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:
6. Federal Department/Agency: 	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known: 	9. Award Amount, if known: \$ _____	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i>	b. Individuals Performing Services <i>(including address if different from No. 10a) (last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		
Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____		
Federal Use Only		Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
11. Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
12. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

**Certification Regarding Debarment, Suspension, Ineligibility and
Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled A Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete

INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372.

Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7W301, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102).

Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS
AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED
APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.

STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2004 the Federal Government will outlay \$400 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version: <http://www.whitehouse.gov/omb/grants/spoc.html>.

States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application materials directly to a Federal awarding agency.

Contact information for Federal agencies that award grants can be found in [The Catalog of Federal Domestic Assistance Catalog Contents Page](#). You can access Appendix IV by Agency [http://12.46.245.173/CFDA/appx4_web.pdf] or by State [http://12.46.245.173/CFDA/appx4_web_state.pdf]

ARKANSAS Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 W. 7 th Street, Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 FAX: (501) 682-5206 Tlucopeland@dfa.state.ar.us	CALIFORNIA Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 FAX: (916) 323-3018 State.clearinghouse@opr.ca.gov
DELAWARE Ellen P. McDowell Federal Aid Coordinator Office of Management and Budget 540 S. Dupont Highway , 3 rd Floor Dover, Delaware 19901 Telephone: (302) 739-3327 FAX: (302) 739-5661 Ellen.mcdowell@state.de.us	DISTRICT OF COLUMBIA Marlene Jefferson D.C. Government Office of Partnerships And Grants Development 441 4 th Street, NW Washington, DC 20001 Telephone: (202) 727-6518 FAX: (202) 727-1652 Marlene.Jefferson@dc.gov
FLORIDA Lauren P. Milligan Florida State Clearinghouse Florida Dept. of Environmental Protection 3900 Commonwealth Blvd., Mall Station 47 Tallahassee, Florida 32399-3000 Telephone: (850) 245-2161 FAX: (850) 245-2190 Lauren.Milligan@dep.state.fl.us	GEORGIA Barbara Jackson Georgia State Clearinghouse 270 Washington Street, SW Atlanta, Georgia 30334 Telephone: (404) 656-3855 FAX: (404) 656-7901 gach@mail.opb.state.ga.us
ILLINOIS Roukaya McCaffrey Department of Commerce and Economic Opportunities 620 East Adams, 6 th Floor Springfield, Illinois, 62701 Telephone: (217) 524-0188 FAX: (217) 558-0473 roukaya_mccaffrey@illinoisbiz.biz	IOWA Kathy Mabie Iowa Department of Management State Capitol Building Room G12 1007 E Grand Avenue Des Moines, Iowa 50319 Telephone: (515) 281-8834 FAX: (515) 242-5897 Kathy.mabie@iowa.gov

KENTUCKY Ron Cook Department for Local Government 1024 Capital Center Drive, Suite 340 Frankfort, Kentucky 40601 Telephone: (502) 573-2382 FAX: (502) 573-2512 ron.cook@mail.state.ky.us	MAINE Joyce Benson State Planning Office 184 State Street 38 State House Station Augusta, Maine 04333 Telephone: (207) 287-3261 Telephone: (207) 1461 FAX: (207) 287-6489 joyce.benson@state.me.us
MARYLAND Linda C. Janey, J.D. Director, Capital Plng. & Devel. Review Maryland Department of Planning 301 West Preston Street – Room 1104 Baltimore, Maryland 21201-2305 Telephone: (410) 767-4490 FAX: (410) 767-4480 ljaney@mdp.state.md.us	MICHIGAN Richard Pfaff Southeast Michigan Council of Governments 535 Griswold, Suite 300 Detroit, Michigan 48226 Telephone: (313) 961-4266 FAX: (313) 961-4869 pfaff@semcoq.org
MISSISSIPPI Cathy Mallette Clearinghouse Officer Department of Finance and Administration 1301 Woolfolk Building, Suite E 501 North West Street Jackson, Mississippi 39201 Telephone: (601) 359-6762 Fax: (601) 359-6758	MISSOURI Angela Boessen Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Truman Building, Room 840 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 FAX: (573) 522-4395 igr@mail.oa.state.mo.us
NEVADA Heather Elliott Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701 Telephone: (775) 684-0209 FAX: (775) 684-0260 helliott@govmail.state.nv.us	NEW HAMPSHIRE Jeffrey H. Taylor Director, New Hampshire Office of State Planning Attn: Intergovernmental Review Process Mike Blake 2½ Beacon Street Concord, New Hampshire 03301 Telephone: (603) 271-2155 FAX: (603) 271-1728 jtaylor@osp.state.nh.us
NEW MEXICO Ken Hughes Local Government Division Room 201, Bataan Memorial Building Santa Fe, New Mexico 87503 Telephone: (505) 827-4370 FAX: (505) 827-4948 khughes@dfa.state.nm.us	NEW YORK Linda Shkrell Office of Public Security Homeland Security Grants Coordination 633 3 rd Avenue New York, NY 10017 Telephone: (212) 867-1289 FAX: (212) 867-1725
NORTH DAKOTA Jim Boyd Division of Community Services 600 East Boulevard Ave, Dept 105 Bismarck, North Dakota 58505-0170 Telephone: (701) 328-2094 FAX: (701) 328-2308 jboyd@state.nd.us	RHODE ISLAND Kevin Nelson Department of Administration Statewide Planning Program One Capitol Hill Providence Rhode Island 02908-5870 Telephone: (401) 222-2093 FAX: (401) 222-2083 knelson@doa.state.ri.us

SOUTH CAROLINA SC Clearinghouse Budget and Control Board Office of State Budget 1201 Main Street, Suite 950 Columbia, South Carolina 29201 Telephone: (803) 734-0494 FAX: (803) 734-0645 clearinghouse@budget.state.sc.us	TEXAS Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 FAX: (512) 936-2681 dfrancis@governor.state.tx.us
UTAH Clare Walters Utah State Clearinghouse Governor's Office of Planning and Budget State Capitol, Room 116 Salt Lake City, Utah 84114 Telephone: (801) 538-1555 FAX: (801) 538-1547 cwalters@gov.state.ut.us	WEST VIRGINIA Fred Cutlip, Director Community Development Division West Virginia Development Office Building #6, Room 553 Charleston, West Virginia 25305 Telephone: (304) 558-4010 FAX: (304) 558-3248 fcutlip@wvdo.org
WISCONSIN Jeff Smith Section Chief, Federal/State Relations Wisconsin Department of Administration 101 East Wilson Street – 6 th Floor P.O. Box 7868 Madison, Wisconsin 53707 Telephone: (608) 266-0267 FAX: (608) 267-6931 jeffrey.smith@doa.state.wi.us	AMERICAN SAMOA Pat M. Galea'i Federal Grants/Programs Coordinator Office of Federal Programs/Office of the Governor Department of Commerce American Samoa Government Pago Pago, American Samoa 96799 Telephone: (684) 633-5155 Fax: (684) 633-4195 pmgaleai@samoatelco.com
GUAM Director Bureau of Budget and Mgmt. Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 FAX: 011-671-472-2825 ier@ns.gov.gu	PUERTO RICO Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 FAX: (787) 722-6783
NORTH MARIANA ISLANDS Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 FAX: (670) 664-2272 omb.jseman@saipan.com	VIRGIN ISLANDS Ira Mills Director, Office of Management and Budget # 41 Norre Gade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 FAX: (787) 776-0069 irmills@usvi.org

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to grants@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, NW
Washington, DC 20503

Please note: **Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the [CFDA](#).**

NOTICE TO ALL APPLICANTS:

The Government Performance and Results Act (GPRA)

What is GPRA?

The Government Performance and Results Act of 1993 is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In doing so, it is expected that GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the department will work to improve education for all children and adults in the United States. The Department's goals, as listed in the plan, are:

- Goal 1: Create a culture of Achievement*
- Goal 2: Improve Student Achievement*
- Goal 3: Develop Safe Schools and Strong Character*
- Goal 4: Transform Education into an Evidence-based Field*
- Goal 5: Enhance the Quality of and Access to Postsecondary Adult Education*
- Goal 6: Establish Management Excellence*

What are the Performance Indicators for the GEAR UP Program?

The Department's specific goal for the GEAR UP Program is: "to significantly increase the number of low-income students who are prepared to enter and succeed in post-secondary education."

- Objective 1:** Increase the academic performance and preparation for post-secondary education for GEAR UP students.
- Objective 2:** Increase the rate of high school graduation and participation in post-secondary education for GEAR UP students.
- Objective 3:** Increase GEAR UP students' and their families' knowledge of post-secondary education options, preparation and financing.

OPE: Gaining Early Awareness and Readiness for Undergraduate Programs (GEAR-UP)

HEA Title IV, Part A-2, Chapter 2

FY2006

CFDA Numbers: 84.334 - Gaining Early Awareness and Readiness for Undergraduate Programs
 84.334A - GEAR-UP Partnership Grants
 84.334S - GEAR-UP State Grants

Program Goal: To significantly increase the number of low-income students who are prepared to enter and succeed in postsecondary education.

Objective 8.1 of 3: Increase the academic performance and preparation for postsecondary education of GEAR UP students.

Indicator 8.1.1 of 1: Completion of academically challenging curricula: The percentage of GEAR UP students who passed prealgebra by the end of the 7th grade and Algebra 1 by the end of the 9th grade.

Targets and Performance Data			Assessment of Progress	Sources and Data Quality
<i>The percentage of GEAR UP students who passed prealgebra by the end of the 7th grade and the percentage of GEAR UP students who passed Algebra 1 by the end of the 9th grade.</i>			Explanation: Historical performance data through 2002 show the percentages of GEAR UP students who were enrolled in prealgebra by the end of the 7th grade. Data for 2003 reflect the percentage of GEAR UP students who were enrolled in prealgebra by the end of the 7th grade and in Algebra 1 by the end of the 9th grade. Data beginning in 2004 are collected on successful completion of core academic subjects and other college preparatory courses. Standards to enter and complete above grade-level math courses (such as prealgebra and Algebra I for 7th graders) are becoming more rigorous. This practice may limit the percentage of students in many schools served by GEAR UP who are entering and completing such courses. Data for each year were obtained from the GEAR UP annual performance reports. For example: data for year 2004 were obtained from the GEAR UP Annual Performance Report covering April 2003 - March 2004.	Additional Source Information: Annual program performance reports and program evaluation study. Frequency: Annually. Collection Period: 2004 - 2005 Data Available: December 2005 Validated By: No Formal Verification. GEAR UP staff review performance report data for quality, clarity, and consistency and to assess extent to which project objectives are being accomplished.
Year	Actual Performance	Performance Targets		
	Prealgebra Algebra 1	Prealgebra Algebra 1		
2001	18			
2002	18			
2003	22 30	19 19		
2004	29 21	20 20		
2005		25 50		
2006		30 22		
2007		35 23		

Objective 8.2 of 3: Increase the rate of high school graduation and enrollment in postsecondary education of GEAR UP students.

Indicator 8.2.1 of 1: High school graduation and enrollment in postsecondary education: GEAR UP students will have high rates of high school graduation and postsecondary education enrollment.

Targets and Performance Data			Assessment of Progress	Sources and Data Quality
<i>The percentage of GEAR UP students who graduated from high school.</i>			Explanation: Data will be collected in future years on GEAR UP students' high school completion and postsecondary education enrollment. The long term goal for the percentage of GEAR UP students who have completed high school is 74.5% in 2010, and the long term goal for the percentage of former GEAR UP students who are enrolled in college is 66.5 in 2010.	Additional Source Information: Annual program performance reports and program evaluation study. Frequency: Annually. Collection Period: 2007 - 2008 Data Available: December 2008 Validated By: No Formal Verification. GEAR UP staff review performance report data for quality, clarity, and consistency and to assess extent to which project objectives are being accomplished.
Year	Actual Performance	Performance Targets		
2007		73		
2008		73.50		
2009		74		
2010		74.50		
<i>The percentage of former GEAR UP students who are enrolled in college.</i>				
Year	Actual Performance	Performance Targets		
2007		65		
2008		65.50		
2009		66		
2010		66.50		

Objective 8.3 of 3: Increase GEAR UP students' and their families' knowledge of postsecondary education options, preparation, and financing.

Indicator 8.3.1 of 2: Knowledge of postsecondary education: GEAR UP students and their families who report having knowledge of available financial aid and necessary academic preparation for college.

Targets and Performance Data			Assessment of Progress	Sources and Data Quality
<i>The percentage of parents of GEAR UP students who have knowledge of available financial aid.</i>			Explanation: Data reflect the percentages of GEAR UP students and their parents who have talked to school counselors, advisors, or someone else about academic preparation for college and college entrance requirements as well as the percentages of GEAR UP students' parents who have talked to school counselors, advisors, or someone else about availability of financial assistance. Data will continue to be collected on students' and parents' knowledge of postsecondary education entrance requirements, costs of attendance, and financial aid opportunities.	Additional Source Information: Annual program performance reports and program evaluation study. Frequency: Annually. Collection Period: 2004 - 2005 Data Available: December 2005 Validated By: No Formal Verification. GEAR UP staff review performance report data for quality, clarity, and consistency and to assess extent to which project objectives are being accomplished.
Year	Actual Performance	Performance Targets		
	Parents: Aid	Parents: Aid		
2001	24			
2002	31			
2003	35	32		
2004	34	33		
2005		35		
2006		37		
2007		38		
<i>The percentage of GEAR UP students and their families who have knowledge of necessary academic preparation for college</i>				

Year	Actual Performance		Performance Targets	
	Students: Prep	Parents: Prep	Students: Prep	Parents: Prep
2001	50	31		
2002	53	39		
2003	57	43	54	40
2004	62	42	56	42
2005			61	46
2006			66	47
2007			75	48

Indicator 8.3.2 of 2: Efficiency measure: Cost per successful outcome			
Targets and Performance Data		Assessment of Progress	Sources and Data Quality
<i>The average cost (federal funds) per GEAR UP student who immediately enrolls in college after high school graduation.</i>		Explanation: In school year 2007-2008, the program will begin to collect data on college enrollment rates, which will be reported by December 2008. The FY 2008 target is to establish a baseline.	Additional Source Information: Annual program performance reports, program evaluation study, and Grants Administration and Payment System (GAPS) Frequency: Annually. Collection Period: 2007 - 2008 Data Available: December 2008 Validated By: No Formal Verification. GEAR UP staff review performance report data for quality, clarity, and consistency and to assess extent to which project objectives are being accomplished.
Year	Actual Performance		
2008			

Source: 2006PM

11/09/2005 01:20 PM

Contact Information

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Gaining Early Awareness and Readiness for Undergraduate Programs

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Web Page: <http://www.ed.gov/programs/gearup>

Application Package Checklist

Application Deadline Date: March 9, 2006

Checklist:

- ❑ The Application Title Page has been completed according to the instructions.
- ❑ Within three working days after submitting your electronic application, fax a signed copy of the GEAR UP Title Page Form to the Application Control Center at (202) 245-6272.

The Application:

- ❑ Title Page Form (page 1)
- ❑ Students to be Served Form (page 2)
- ❑ Table of contents (page 3)
- ❑ Abstract (page 4- one page maximum)
- ❑ Narrative (40 page maximum)
- ❑ Project Budget Summary Forms and detailed budget justification
- ❑ Applicant Organization Identification Form and Cost Share Worksheet
- ❑ Partner Identification Form and Cost Share Worksheet
- ❑ Documentation of Student Eligibility for Free & Reduced – Priced Lunch
- ❑ Equitable Access and Participation
- ❑ Form ED 80-0013
- ❑ Standard Form 424B
- ❑ Standard Form LLL
- ❑ Form ED 80-0014